

1-21-04

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Applicant:

Robert E. Smith, III

Serial No. 10/689,392

Filed: October 2003

For: Seal Retainer with Pressure
· Energized Metal Seal Members for
Undersea Hydraulic Coupling

§
§
§
§
§
§
§
§
§
§
§

Group Art Unit

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P O Box 1450
Alexandria VA 22313-1450

Dear Sir:

Applicant hereby submits the following reference in accordance with 37 C.F.R. § 1.56 and 1.97. Copies of any foreign or publication references cited in the attached PTO-1449 are enclosed.

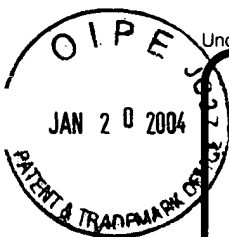
Respectfully submitted,

Keith Rutherford, Reg. No. 36,262

Wong, Cabello, Lutsch,
Rutherford & Brucculeri, L.L.P.
20333 SH 249, Suite 600
Houston, TX 77070
832/446-
Fax 832/446-2424

CERTIFICATE OF MAILING UNDER 1.8(a)

I hereby certify that this document is being sent via Express Mail addressed to Commissioner for Patents, P O Box 1450, Alexandria, VA 22313-1450 on this 20 day of January, 2004.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

1

of

8

Complete if Known

Application Number	10/689,392
Filing Date	October 2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		US- 4641841		2-1987	Regan	
		US- 4799512		11-12-87	Sarson	
		US- 3058750		10-62	Taylor	
		US- 4709726		2-17-87	Fitzgibbons	
		US- 4834939		5-2-88	Fitzgibbons	
		US- 4768538		11-27-87	Mintz	
		US- 5368070		12-4-92	Bosley	
		US- 4781399		12-7-87	Collon	
		US- 2265267		12-41	Cowles	
		US- 4694859		11-25-85	Smith	
		US- 1913982		6-33	Fox	
		US- 1928821		10-33	Santiago	
		US- 2265267		12-41	Cowles	
		US- 2825590		4-58	Sutherland	
		US- 3046026		7-62	Burrows	
		US- 3089713		5-63	Scaranuceri	
		US- 3111179		11-63	Albers et al	
		US- 4452462		6-84	Karr, Jr.	
		US- 4582295		4-86	Kugler et al.	
		US- 4641841		2-87	Regan	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind ⁵ (if known)				
		GB	552862		4-43			
		GB	677685		8-52			
		GB	819421		9-59			
		GB	886133		1-62			
		GB	888143		1-62			
		GB	925491		5-63			
		GB	1603670		11-81			
		EP	0024986		3-81			
		EP	0177650		4-86			
		FR	663132		10-28			

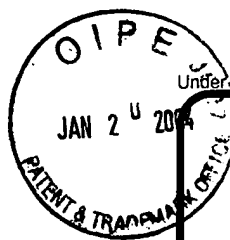
Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 2 of 8

Complete if Known

Application Number	10/689,392
Filing Date	October 2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known) ²			
	-	US- 4884584		8-14-87	Smith	
		US- 2218318		10-40	Pfauser	
		US- 2735696		2-56	Omon et al.	
		US- 3215161		11-65	Goodwin et al.	
		US- 3236251		2-66	Hansen	
		US- 3291152		12-66	Comer	
		US- 3348575		10-67	Simak	
		US- 3507523		4-70	Cadley	
		US- 3516524		6-70	Kelty et al.	
		US- 3550624		12-70	Johnson	
		US- 3618690		11-71	Johnson	
		US- 3707878		1-73	Treichler	
		US- 3727952		4-73	Richardson	
		US- 3797510		3-74	Torres	
		US- 3899199		8-75	Garey	
		US- 3917220		11-75	Gilmore	
		US- 4124228		11-78	Morrison	
		US- 4222411		9-80	Herzan et al.	
		US- 4348039		9-82	Miller	
		US- 4589689		5-86	Regan	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind ⁵ (if known)				
		FR	1142462		12-55			
		FR	76801		11-58			
		FR	1491524		6-66			
		CH	343726		7-56			
		GB	552435		4-43			
		GB	1548852		7-79			
		GB	1564906		4-80			
		FR	595332		9-25			
		FR	822572		1-38			

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Complete if Known

Application Number	10/689,392
Filing Date	October 2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

(use as many sheets as necessary)

Sheet	3	of	8
-------	---	----	---

U.S. PATENT DOCUMENTS

Examiner Initials [*]	Cite No. ¹	Document Number ²		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			
		US- 4637470		1-87	Weathers, et al.	
		US- 4656393		4-87	Amboss	
		US- 4694859		9-87	Smith	
*		US- 4709726		12-87	Fitzgibbons	
		US- 4709727		12-87	Gober	
-		US- 5762106		6-98	Smith	
*		US- RE18296		12-31	Pierce	
		US- 264736		3-1882	Van Tine	
		US- 528773		11-1894	Ellis	
		US- 869536		10-07	Weber	
		US- 954195		4-10	Law	
		US- 1331216		2-20	Schneider	
		US- 1583931		5-26	Joyce	
		US- 1721325		7-29	Wilson	
		US- 1788365		1-31	Anderson	
		US- 2498080		2-50	Jasse	
		US- 2521692		9-50	Costello	
		US- 2626840		1-53	Laurent	
		US- 2643140		6-53	Scheiwer	
		US- 2660459		11-53	Collins	

FOREIGN PATENT DOCUMENTS

[illegible]Date
Considered

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

JAN 2^U 2004

C mplete if Known

Application Number	10/689,392
Filing Date	October 2000
First Named Inventor	Robert E. Smith
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

Sheet	4	of	8
-------	---	----	---

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known) ²			
		US- 2783106		2-57	Barnhart	
		US- 2839314		6-58	Clark	
		US- 2844421		7-58	Hayman	
		US- 2862775		12-58	Kuplec	
		US- 2976066		3-61	Antoniades	
		US- 3058750		10-62	Taylor	
		US- 3142498		7-64	Press	
		US- 3147015		9-64	Hanback	
		US- 3163431		12-64	Tanner	
		US- 3184246		5-65	Kline	
		US- 3207524		9-65	Trbovich	
		US- 3233921		2-66	Holmgren et al.	
		US- 3279806		10-66	Bialkowski	
		US- 3288472		11-66	Wathius	
		US- 3315970		4-67	Halloway	
		US- 3326560		6-67	Trbovich	
		US- 3378269		4-68	Castor	
		US- 3540745		11-70	Flock	
		US- 3647226		3-72	Middelkoop	
		US- 3759552		9-73	Levinsohn et al.	

[illegible]

Date	
Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

JAN 2^U 2004

(use as many sheets as necessary)

Sheet 5 of 8

Application Number	10/689,392
Filing Date	October 2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known) ²			
		US- 4302020		11-81	Morales	
		US- 4324407		4-82	Upham et al.	
		US- 4381868		5-83	Croy et al.	
		US- 4410189		10-83	Myers et al.	
		US- 4448448		5-84	Pollia	
		US- 4496162		1-85	McEver et al.	
		US- 4592558		6-86	Hopkins	
		US- 4658847		4-87	McCrone	
		US- 4817668		10-2-87	Smith	
		US- 2730380		1-56	Epsy et al.	
		US- 3054422		9-62	Napolitono	
		US- 3473556		10-69	Johnson et al.	
		US- 3625251		12-71	Nelson	
		US- 3891246		1-75	Hopper	
		US- 4044993		8-77	Wheeler	
		US- 4453566		6-84	Henderson, Jr. et al.	
		US- 4457523		7-84	Halling et al.	
		US- 4832080		1-21-88	Smith	
		US- 4900071		8-24-88	Smith	
		US- 5015016		4-3-89	Smith	

[illegible]

Date	
Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

JAN 20 2004

(use as many sheets as necessary)

6

of

8

Application Number	10/689,392
Filing Date	October 2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known) ²			
	-	US-	5284183	1-11-93	Smith	
		US-	4369977	1-43	Bishop et al.	
		US-	4694859	9-87	Smith	
		US-	4709726	12-87	Fitzgibbons	
		US-	4768538	9-88	Mintz et al.	
		US-	4781399	11-88	Collon	
	-	US-	5029613	9-28-90	Smith	
		US-	3201151	8-65	Westveer	
		US-	3205911	9-65	Swick, Jr.	
		US-	3447819	6-69	Borsum et al.	
		US-	3498324	3-70	Breuning	
		US-	3508580	4-70	Snyder, Jr.	
		US-	3519278	7-70	Fuhrmann	
		US-	3918485	11-75	Weber et al.	
		US-	4476772	10-84	Gorman et al.	
		US-	4556196	12-85	Nimberger	
		US-	4602806	7-86	Saliger	
		US-	4817668	4-89	Smith	
	-	US-	5277225	01-94	Smith	
	-	US-	6202691	5-12-00	Smith	

[illegible]

Date	
Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

JAN 20 2004

(use as many sheets as necessary)

7

of

8

Application Number	10/689,392
Filing Date	October 2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0074US

[illegible][illegible]

Date	
Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

JAN 20 2004

(use as many sheets as necessary)

8

C

8

10/689,392

October 2003

Robert E. Smith, III

221-0074US

Date
Considered

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.